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# ENVIRONMENTAL RESEARCH

RESEARCH AND TECHNOLOGY BRANCH

## PROCEDURES MANUAL

October, 1988



Environment  
Ontario  
Jim Bradley, Minister



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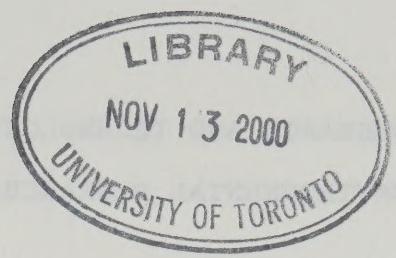
*by*

**The Ontario Ministry  
of The Environment**

RESEARCH AND TECHNOLOGY BRANCH  
ENVIRONMENTAL RESEARCH PROGRAM

P R O C E D U R E S   M A N U A L

October, 1988



The Ontario Institute  
for Studies in Education

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## SUMMARY OF PROCEDURES

### 1. SUBMISSION AND REVIEW OF RESEARCH PROPOSALS

Documentation of procedures for the submission and review of research proposals submitted to the Ministry, for presentation to and recommendation for action by the Research Advisory Committee.

### 2. APPROVAL OF RESEARCH PROPOSALS FOR FUNDING BY GRANT

Documentation of procedures for the approval of a research proposal submitted to the Ministry for grant support.

### 3. APPROVAL OF UNSOLICITED RESEARCH PROPOSALS FOR FUNDING BY CONTRACT

Documentation of procedures for the approval and processing of an unsolicited research proposal submitted to the Ministry by a contractor/consultant.

### 4. APPROVAL OF SOLICITED RESEARCH PROPOSALS FOR FUNDING BY CONTRACT

Documentation of procedures for the approval of a solicited research proposal originating from Ministry branches or regional offices.

### 5. PREPARATION OF NEWS RELEASES FOR GRANTS

Documentation of procedures for the preparation of news releases announcing the approval of a research project supported by a grant.

### 6. PREPARATION OF NEWS RELEASES FOR CONTRACTS

Documentation of procedures for the preparation of news releases announcing a successful research project contract award.

### 7. REQUEST FOR ADDITIONAL FUNDS FOR UNIVERSITY PROJECTS

Documentation of procedures for the processing of a request from a university for supplementary funding.



SUMMARY OF PROCEDURES (Cont'd.)

8. APPROVAL OF RESEARCH PROPOSALS FUNDED BY BRANCHES AND REGIONS

Documentation of procedures for the approval of a research proposal submitted and funded by branches and regions.

9. FINAL REPORT APPROVAL PROCESS

Documentation of procedures for the preparation, revision, (as required), approval and distribution of a final report from a research project.

10. APPROVAL OF POST-DOCTORAL FELLOWSHIPS FOR FUNDING BY GRANT

Documentation of procedures for the provision of funding to a university for a Post-Doctoral Fellowship (PDF) to carry out scientifically complex work in a research area where the Ministry lacks expertise.



## PROCEDURE #1

### SUBMISSION AND REVIEW OF RESEARCH PROPOSALS

Responsibility	Action
Research and Technology Branch	<ol style="list-style-type: none"><li>1. Receives 1 original and 5 copies of the research proposal submitted by a university, consultant, etc. and ensures that the Form 02 is completed and that all the required information is supplied.<ol style="list-style-type: none"><li>(a) If copies of the proposal or the Form 02 are missing, a request is included in the letter of acknowledgement (Form letter #1a, see Step #3) that they be submitted to expedite the processing of the proposal.</li></ol></li></ol>
	<p>Note: For solicited research proposals submitted by the Branches/Regions, see Procedure IV.</p>
	<ol style="list-style-type: none"><li>2. Assigns a number to the proposal.</li></ol>
	<p>Note: Proposal numbers are assigned in numeric order.</p>
	<ol style="list-style-type: none"><li>3. Sends a letter (Form Letter #1b, Form letter #1c for late proposals) to the applicant, cc: Research coordinator, that acknowledges the receipt of the proposal, and advises of technical and Research Area reviews, the Research Advisory Committee's future review and the date of approval status notification.</li></ol>
	<p>Note: Acknowledgement to university applicants should also include cc: Director of Research Administration.</p>
	<ol style="list-style-type: none"><li>4. Sends a memorandum (Form Letter #1d, 1e, and 1f) to the Research Area Research Coordinator, requesting both the review of the proposal and its return 3 weeks prior to the next scheduled meeting of the Research Advisory Committee.</li></ol>



## PROCEDURE #1

### SUBMISSION AND REVIEW COORDINATION OF RESEARCH PROPOSALS

Responsibility	Action
Research and Technology Branch (Cont'd)	<p>Note: If a proposal is for research based in a specific area of the province, the appropriate Regional Director is to be copied on the request for review and to receive a copy of the applicable Form 02.</p>
Research Coordinator	<p>5. Coordinates the review of the proposal by appropriate qualified staff experts and may seek the advice of external experts. This is especially important if there is a lack of sufficient available MOE expertise, or a major discrepancy in the internal reviews.</p> <p>6. Based on input from reviewers, makes recommendations on the suitability of a proposal for funding purposes.</p> <p>7. Sends at least 3 Research Grant Proposal Evaluation Sheets (See Appendix B) and a Proposal Summary and Recommendation Form (See Appendix C) to the Research and Technology Branch.</p> <p>Note: The name of the Liaison Officer is indicated on the Proposal Summary and Recommendation Form if the proposal is recommended for funding.</p> <p>8. Meets with other Research Coordinators and Research and Technology Branch staff approximately 4 weeks prior to the Research Advisory Committee meeting to discuss relative research priorities.</p> <p>9. Tables Form 02 with a Summary and Recommendation Form and all relevant correspondence in the Agenda Book in preparation for recommendation for action at the Research Advisory Committee meeting.</p>
Research and Technology Branch	



## PROCEDURE #2

### APPROVAL OF RESEARCH PROPOSALS FOR FUNDING BY GRANT

Responsibility	Action
Research Advisory Committee	<ol style="list-style-type: none"><li>1. Discusses research proposals during the RAC meeting.</li><li>2. Discusses and recommends by consensus the approval, deferral, or rejection of research proposals based on the comments of the technical reviewers, research needs, available funds and other considerations.</li><li>3. Prepares the appropriate documentation for notification of conditional approval, rejection or approval.<ol style="list-style-type: none"><li>(a) If a proposal is approved with conditions, advises the investigator in writing of the conditions and asks the investigator to either provide written concurrence with the conditions or supply the necessary information to meet the conditions.</li><li>(b) If the proposal is deferred until the next RAC meeting due to either unresolved concerns or the need for clarification, advises the investigator in writing to provide additional information through the review coordinator.</li><li>(c) If the proposal is rejected, a letter (Form Letter #2a) is sent to the applicant, cc: Review Coordinator, Director of Research Administration (in the case of a university), advising of the proposal review and the subsequent rejection.</li><li>(d) If the proposal is approved unconditionally, prepares Form 03 and submits it for approval at the Division Heads meeting.</li></ol></li></ol>
Research and Technology Branch	



PROCEDURE #2

APPROVAL OF RESEARCH PROPOSALS FOR FUNDING BY GRANT

Responsibility	Action
Division Head, Corporate Resources	4. Approves the Form 03 and returns it to the Research and Technology Branch.
Research and Technology Branch	5. Assigns a Project Number to the proposal.  Note: A copy of Form 03 is also sent to the Communications Branch for the preparation of a news release.  Note: For budget purposes, the proposal number previously assigned is changed to a project number with an identifying code G (Grant).  Project numbers are assigned in numeric order.
	6. Sends a memorandum (Form Letter #2b) to the Research Coordinator cc: Liaison Officer re Division Head approval of grant; attaches a copy of Form 03 to the memorandum.
	7. Prepares a letter (Form Letter #2c) from the Minister to the university Director of Research Administration cc: Applicant, (with grant agreement attached for signature, see Appendix D), bcc: Research Coordinator, and Liaision Officer re successful grant application.



## PROCEDURE #2

### APPROVAL OF RESEARCH PROPOSALS FOR FUNDING BY GRANT

Responsibility	Action
Research and Technology Branch (Cont'd)	Note: At this stage, a news release is prepared in cooperation with the Communications Branch (see Procedure #5) announcing the approval of the grant project.
Minister's Office	8. Signs the letter and sends it to the university.
Research and Technology Branch	9. Sends a memorandum (Form Letter #2e) to the Director, Financial and Capital Management Branch, advising of the project approval and requesting the preparation of a grant cheque; attaches a Request for Cheque Form (MOE Form #0267) and a copy of Form 03 to the memorandum.
Financial and Capital Management Branch	10. Prepares cheque.
Research and Technology Branch	11. Forwards the cheque to the Research and Technology Branch.
Research and Technology Branch	12. Receives the cheque and sends it and a letter signed by the Director, Research and Technology Branch to Director of Research (Form Letter #2d), cc: Investigator, once the signed grant agreement is received.
	Note: The news release is released once the Minister's letter is mailed out (see Procedure #5).



## PROCEDURE #3

### APPROVAL OF UNSOLICITED RESEARCH PROPOSALS FOR FUNDING BY CONTRACT

Responsibility	Action
Research Advisory Committee	<ol style="list-style-type: none"><li>1. Discusses research proposals during the RAC meeting.</li><li>2. Discusses and recommends by consensus the approval, deferral, or rejection of research proposals based on the comments of the technical reviewers, research needs, available funds and other considerations.</li><li>3. Prepares the appropriate documentation for notification of conditional approval, rejection or approval.<ol style="list-style-type: none"><li>(a) If a proposal is approved with conditions, advises the investigator in writing of the conditions and asks the investigator to either provide written concurrence with the conditions or supply the necessary information to meet the conditions.</li><li>(b) If the proposal is deferred until the next RAC meeting due to either unresolved concerns or the need for clarification, advises the investigator in writing to provide additional information through the review coordinator.</li><li>(c) If the proposal is rejected, a letter (Form Letter #2a) is sent to the applicant, cc: Review Coordinator advising of the proposal review and the subsequent rejection.</li><li>(d) If the proposal is approved unconditionally, prepares Form 03 and submits it for approval at the Division Heads meeting.</li></ol></li></ol>
Research and Technology Branch	



## PROCEDURE #3

### APPROVAL OF UNSOLICITED RESEARCH PROPOSALS FOR FUNDING BY CONTRACT

Responsibility	Action
Division Head, Corporate Resources	4. Approves the Form 03 and returns it to the Research and Technology Branch.
Research and Technology Branch	5. Assigns a project number to the proposal.  Note: For budget purposes, the proposal number previously assigned is changed to a project number with an identifying code C (Contract).  Project numbers are assigned in numeric order.
	6. Sends a memorandum (Form Letter #3a) to the Research Coordinator cc: Liaison Officer re Division Head approval of contract, attaching a copy of Form 03 to the memorandum.  Note: A copy of Form Letter #3a is also sent to the Communications Branch for the preparation of a news release (see Procedure #6) and to the Branch/Regional Director if it is a solicited research proposal.  A news release can be drafted but should not be released until the Purchase Order has been issued.
	7. Sends a letter (Form Letter #3b) to the contractor cc: Research Coordinator, Liaison Officer re successful proposal submission.



PROCEDURE #3

APPROVAL OF UNSOLICITED RESEARCH PROPOSALS FOR FUNDING BY CONTRACT

Responsibility	Action
Project Liaison Officer	<ol style="list-style-type: none"><li>8. Prepares 3 copies of the contract document.</li><li>9. Prepares and signs a Purchase Requisition, leaving the Organizing Unit and Common Object codes blank for the Research and Technology Branch to complete.<ol style="list-style-type: none"><li>(a) The following are required attachments to the Purchase Requisition:<ul style="list-style-type: none"><li>- 1 copy of the proposal</li><li>- 3 copies of the contract signed by the Director, Policy and Planning Branch</li><li>- 1 copy of the approved Form 03</li><li>- any appendices, schedules or attachments referred to in the contract document.</li></ul></li></ol></li><li>10. Sends a Purchase Requisition with attachments to the Research and Technology Branch.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li>11. Verifies the accuracy of the contract documents, approval signature and Purchase Requisition; obtains the necessary approval signature(s); forwards the package to the Purchasing Section together with the required attachments and any relevant justification.</li></ol>
Purchasing Section	<ol style="list-style-type: none"><li>12. Prepares a Purchase Order and sends it out to the contractor with 3 copies of the contract document of agreement for signing; sends one copy of the Purchase Order to the Research and Technology Branch.</li></ol>



PROCEDURE #3

APPROVAL OF UNSOLICITED RESEARCH PROPOSALS FOR FUNDING BY CONTRACT

Responsibility	Action
Purchasing Section (Cont'd)	13. Receives the signed contract from the contractor; retains one copy and forwards one copy both to the Research and Technology Branch and to the Liaision Officer.
Research and Technology Branch	14. Files a copy of the signed contract in a Research Project File.



## PROCEDURE #4

### APPROVAL OF SOLICITED RESEARCH PROPOSALS FOR FUNDING BY CONTRACT

Responsibility	Action
Branch/Region	<ol style="list-style-type: none"><li>1. Prepares a proposal outline and submits the outline through the Branch Region Director to the Research and Technology Branch.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li>2. Sends a letter (Form Letter #4) to the Director of the Branch/Region, cc: Research Coordinator, that acknowledges the receipt of the proposal and advises of Research Area reviews, the Research Advisory Committee's future review and the date of approval status notification.</li></ol>
Research Coordinator	<ol style="list-style-type: none"><li>3. Sends a copy of the outline to the Research Coordinator for comments.</li><li>4. Provides written comments on the proposal outline and sends them to the Research and Technology Branch.</li></ol>
Research Advisory Committee	<ol style="list-style-type: none"><li>5. Tables the proposal outline at the RAC meeting.</li><li>6. Discusses the research proposal at the RAC meeting.</li><li>7. Approves in principle the issuance of a Request for Proposal (RFP), or rejects the proposal.  (a) If the proposal is rejected, a memorandum is sent by the Research and Technology Branch to the Director of the Branch/Region advising of the rejection.  (b) If the proposal is approved, prepares the RFP which should include:<ul style="list-style-type: none"><li>- Assignment definition</li><li>- Objectives</li><li>- Scope</li><li>- Timing</li><li>- Selection Criteria</li></ul></li></ol>
Branch/Region Liaison Officer	



PROCEDURE #4

SUBMISSION AND REVIEW COORDINATION OF RESEARCH PROPOSALS

Responsibility	Action
Branch/Region Liaison Officer (Cont'd)	<ul style="list-style-type: none"><li>- Information required in proposal</li><li>- Background</li><li>- Deliverable/results</li><li>- Pro-form agreement plus the Form 02</li></ul> <p>As per Management Board Directives on Consulting Services: A Managers Guide July 1986, Section 2-2-8.</p> <p>Note: The RFP will determine the cost necessary to perform the required services.</p>
Research and Technology Branch	<ol style="list-style-type: none"><li>9. Prepares a Purchase Requisition; sends it to the Research and Technology Branch with the RFP and a list of vendors/consultants.</li><li>10. Verifies the approval signature and Purchase Requisition; obtains the necessary approval signature(s); and, sends the Purchase Requisition to the Purchasing Section with the required attachments.</li></ol>
Purchasing Section	<ol style="list-style-type: none"><li>11. Invites qualified vendors/consultants to tender.</li><li>12. Receives the proposals from the vendors/consultants and forwards them to the branch/region for evaluation.</li></ol>
Branch/Region	<ol style="list-style-type: none"><li>13. Reviews the proposals and selects the successful bidder.</li><li>14. Returns all the submitted proposals to the Research and Technology Branch with the Consultants' Evaluation Tables.</li></ol>
Research Coordinator	<ol style="list-style-type: none"><li>15. Presents the successful proposal to the RAC for final approval.</li></ol>
Research Advisory Committee	<ol style="list-style-type: none"><li>16. Recommends approval of the proposal (or may require re-tendering, see item 8 above).</li></ol>



## PROCEDURE #4

### SUBMISSION AND REVIEW COORDINATION OF RESEARCH PROPOSALS

Responsibility	Action
Research and Technology Branch	<ol style="list-style-type: none"><li>17. Prepares the Form 03.</li><li>18. Sends the Form 03 for approval at the Division Heads' meeting.</li></ol>
Division Head, Corporate Resources	<ol style="list-style-type: none"><li>19. Approves the Form 03 and returns it to the Research and Technology Branch.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li>20. Assigns a project number to the proposal.</li></ol> <p>Note: For budget purposes, the proposal number previously assigned is changed to a project number with an identifying code C (Contract).</p> <p>Project numbers are assigned in numeric order.</p>
	<ol style="list-style-type: none"><li>21. Sends a memorandum (Form Letter #3a) to the Review Coordinator, cc: Branch/Region Director, Liaison Officer advising of the approval of Form 03 and requesting the preparation of contract documents. (See Appendix E).</li></ol> <p>Note: A copy of Form Letter #3a is also sent to the Communications Branch for the preparation of a news release (see Procedure #6).</p> <p>News releases should not be released until the Purchase Order has been issued.</p>
Branch/Region Liaison Officer	<ol style="list-style-type: none"><li>22. Prepares a contract documents and forwards them to the Research and Technology Branch.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li>23. Sends the selected proposal to the Purchasing Section together with 3 copies of the contract docuemnts and a copy of Form 03.</li></ol>



PROCEDURE #4

SUBMISSION AND REVIEW COORDINATION OF RESEARCH PROPOSALS

Responsibility	Action
Research and Technology Branch (Cont'd)	Note: All unsuccessful proposals are also returned to the Purchasing Section for record-keeping and audit purposes.
Purchasing Section	<ol style="list-style-type: none"><li>24. Prepares a Purchase Order and sends it out to the contractor along with 3 copies of the contract documents for signing; sends one copy of the Purchase Order to the Research and Technology Branch.</li><li>25. Receives 2 copies of the signed contract from the contractor, retains one copy and forwards one copy to the Research and Technology Branch.</li><li>26. Receives a copy of the signed contract and files it in a Research Project File.</li></ol>
Research and Technology Branch	



## PROCEDURE #5

### PREPARATION OF NEWS RELEASES FOR GRANTS

Responsibility	Action
Research and Technology Branch	<ol style="list-style-type: none"><li>Forwards the approved Form 03 with the name of the Liaison Officer to the Communications Branch.</li></ol>
Communications Branch	<ol style="list-style-type: none"><li>Prepares a news release based on the Form 03 summary.<ol style="list-style-type: none"><li>Where a large number of proposals are approved, one general news release referring in more detail to certain large or high profile projects can be prepared.</li></ol></li></ol>
Liaison Officer	<ol style="list-style-type: none"><li>Sends a copy of the news release to the Research and Technology Branch and the Liaison Officer for review.</li><li>Returns a copy of the news release to the Communications Branch.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li>Returns a copy of the news release to the Communications Branch once the Minister's letter has been signed and is ready to be mailed with the cheque to the successful applicant.</li></ol>
Communications Branch	<ol style="list-style-type: none"><li>Obtains the necessary additional approvals.</li><li>Specifies the contacts on the news release.<ol style="list-style-type: none"><li>If there is a single project news release, contacts are the Branch Director or the Liaison Officer and the Communications Branch.</li><li>If there is one general news release, contacts are the Coordinator, the Research and Technology Branch and the Communications Branch.</li></ol></li></ol>
	<ol style="list-style-type: none"><li>Distributes the news release.</li><li>Sends copies of the final news release to the Research and Technology Branch and the Liaison Officer.</li></ol>



PROCEDURE #5

PREPARATION OF NEWS RELEASES FOR GRANTS

Responsibility	Action
Research and Technology Branch	10. Sends a copy of the news release to the Research Coordinator and file a copy in the Research Project File.



## PROCEDURE #6

### PREPARATION OF NEWS RELEASES FOR CONTRACTS

Responsibility	Action
Research and Technology Branch	<ol style="list-style-type: none"><li>Forwards the approved Form 03 with the name of the Liaison Officer to the Communications Branch.</li></ol>
Communications Branch	<ol style="list-style-type: none"><li>Prepares the news release based on the Form 03 summary.<ol style="list-style-type: none"><li>Where a large number of proposals are approved, one general news release referring in more detail to certain large or high profile projects can be prepared.</li></ol></li></ol>
Research and Technology Branch and Liaison Officer	<ol style="list-style-type: none"><li>Sends a copy of the news release to the Research and Technology Branch and the Liaison Officer for review.</li><li>Returns a copy of the news release to the Communications Branch.</li></ol>
Communications Branch	<ol style="list-style-type: none"><li>Prepares the final draft and obtains the necessary approvals.</li><li>Specifies the contacts on the news release.<ol style="list-style-type: none"><li>If there is a single project news release, contacts are the Branch Director or the Liaison Officer and the Communications Branch.</li><li>If there is one general news release, contacts are the Research and Technology Branch and the Communications Branch.</li></ol></li></ol>
	<ol style="list-style-type: none"><li>Distributes the news release when the Purchase Order has been issued to the contractor from the Purchasing Section.</li></ol>
	<p>Note: The Research and Technology Branch will notify the Communications Branch when the Purchase Order has been issued.</p>



PROCEDURE #7

REQUEST FOR ADDITIONAL FUNDS FOR UNIVERSITY PROJECTS

Responsibility	Action
Research and Technology Branch	1. Receives a memorandum from the Liaison Officer supporting an increase of funds; or receives a request for additional funds from the investigator backed by the Liaison Officer's written support.
(a) ADDITIONAL FUNDS UNDER \$20,000 OR 10% OF TOTAL PROJECT BUDGET (WHICHEVER IS GREATER).	
Director, Research and Technology Branch	2a) Approves an increase of funding based on the Liaison Officer's support and available funds.
Research and Technology Branch	3a) Prepares a Request for Cheque Form (MOE Form #0267). 4a) Sends a memorandum (form letter #7a) to the Director, Financial and Capital Management Branch with a Request for Cheque Form, attaching a copy of the memo from the Liaison Officer or the letter from the investigator with the Liaison Officer's written support.
Financial and Capital Management	5a) Prepares a cheque. 6a) Forwards the cheque to the Research and Technology Branch.
(b) ADDITIONAL FUNDS OVER \$20,000 OR 10% OF TOTAL PROJECT BUDGET (WHICHEVER IS GREATER).	
Research and Technology Branch	2b) Presents the request to the Research Advisory Committee. 3b) Recommends an approval or rejection of the additional funding. 4b) Prepares a Form 03 for the RAC approved supplementary grant award for Division Head approval. - If a request is rejected, a letter advising of the rejection is sent to the applicant (or to the university Research Department if



PROCEDURE #7

REQUEST FOR ADDITIONAL FUNDS FOR UNIVERSITY PROJECTS

Responsibility	Action
Research and Technology Branch (Cont'd.)	the request originated from there) cc: Research Coordinator, Liaison Officer.
Division Head	- If the request is approved:  5b) Approves the Form 03.  6b) Returns the approved Form 03 to the Research and Technology Branch.
Research and Technology Branch	7b) Sends a memorandum to the Liaison Officer cc: Research Coordinator regarding approval by the Division Head.  8b) Sends a letter to the University Director of Research Administration, cc: Investigator, Research Coordinator, Liaison Officer, regarding the successful request for a supplementary grant.
Financial and Capital Management	9b) Sends a memorandum (Form Letter #2e) to the Director, Financial and Capital Management Branch with a Request for Cheque Form, attaching either a copy of the memo from the Liaison Officer or the letter from the investigator with the Liaison Officer's written support.  10b) Prepares the cheque.  11b) Forwards the cheque to the Research and Technology Branch.
Research and Technology Branch	7a) Sends the letter Form Letter #7b) with 12b) the cheque enclosed to the university's Director of Research Administration, cc: Investigator, Review Coordinator and Liaison Officer.

Note: The letter to the university enclosing the cheque is signed by the Minister if funding is over \$20,000.



## PROCEDURE #8

### APPROVAL OF RESEARCH PROPOSALS FUNDED BY BRANCHES AND REGIONS

Responsibility	Action
Branch/Region	<ol style="list-style-type: none"><li>1. Submits the Purchase Requisition, proposal and necessary attachments (e.g. contract, appendices when applicable etc.) to the Research and Technology Branch.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li value="2">2a) If possible, schedules a presentation of the research by the Branch or Regional Director at an upcoming RAC meeting, or</li><li value="2">2b) If time does not permit the presentation as outlined in 2a), circulates a summary or abstract of the proposed research and budget to the RAC by mail.</li></ol>
Research Advisory Committee	<ol style="list-style-type: none"><li value="3">3a) Discusses the research proposal at the RAC meeting, or</li><li value="3">3b) Returns written comments about the research proposal to the Research and Technology Branch within one week of receipt.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li value="4">4. Relays comments or suggestions to the Branch/Regional Director.</li></ol>
Director, Research and Technology Branch	<ol style="list-style-type: none"><li value="5">5. Approves the purchase requisition on behalf of the RAC or returns it to the Director for appropriate action.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li value="6">6. Retains a copy of all information on each project proposal in the appropriate Branch/Region file and ensures the entry of all the project summaries in the annual Research and Development Inventory.</li></ol>



PROCEDURE #9

FINAL REPORT APPROVAL PROCESS

Responsibility	Action
Author	<ol style="list-style-type: none"><li>1. Prepares a final report on the approved project and sends it to the Project Liaison Officer.</li></ol>
Project Liaison Officer	<ol style="list-style-type: none"><li>2. Completes an RAC Publication Approval form (see Appendix F) once satisfied technically with the final report.<ol style="list-style-type: none"><li>(a) If changes to the report are necessary based on the technical review, the Liaison Officer will advise the author and coordinate the revision.</li><li>(b) When permission is requested for presentation or release of partial data during the course of a project, the Liaison Officer will obtain the Director's (as determined by Research Area) approval and advise the Research and Technology Branch and the Research Coordinator. The Director may refer the decision to the RAC if necessary.</li></ol></li></ol>
Research Advisory Committee	<p>Note: See Appendix G for example cover and title pages.</p> <ol style="list-style-type: none"><li>3. Attaches an RAC Publication Approval Form, printing requisition, a galley - proof and 5 copies of the final report and any necessary attachments to the report and sends the package to the Director of the Branch responsible for coordinating the project, for discussion at the Research Advisory Committee meeting.</li><li>4. Provides preliminary approval of the report.<ol style="list-style-type: none"><li>(a) If the quality of the report or the results are judged to be of limited value, the RAC may recommend limited or internal distribution only.</li></ol></li></ol>



## PROCEDURE #9

### FINAL REPORT APPROVAL PROCESS

Responsibility	Action
Research Advisory Committee (Cont'd.)	<p>(b) Technology Transfer Conference presentations will not be considered the equivalent of final reports.</p> <p>(c) In occasional cases, a final report may be substituted by either a) a publication of a single comprehensive nature, or several component publications in peer reviewed scientific literature; or b) a book chapter.</p> <p>Approval would follow the normal review procedure once the manuscript had reached a final draft stage but before submission to the editor.</p>
Research and Technology Branch	<ol style="list-style-type: none"><li>5. Sends the report to Division Heads for preliminary approval.</li><li>6. Sends the report package to the Communications Branch.</li></ol>
Communications Branch	<ol style="list-style-type: none"><li>7. Consults with the appropriate Branch or Regional Director for the preparation of a communication plan.</li><li>8. Sends the report to Division Heads for final approval.<ol style="list-style-type: none"><li>(a) If necessary, the report is sent for French translation</li></ol></li><li>9. Arranges the printing and distribution of the report.</li></ol>

FOOTNOTES: Reports will be published in the standard Research and Technology Branch cover.

The standard disclaimer will be retained on the first inside page.



PROCEDURE #10

APPROVAL OF POST-DOCTORAL FELLOWSHIPS, FOR FUNDING BY GRANT

Responsibility	Action
Branch/Region	<ol style="list-style-type: none"><li>1. Prepares the proposal outline and submits the outline through the Director to the Research and Technology Branch, indicating the recommended candidate and credential.</li></ol>
Research and Technology Branch	<ol style="list-style-type: none"><li>2. Assigns a number to the proposal. Note: Proposal numbers are assigned in numeric order.</li></ol>
Research Coordinator	<ol style="list-style-type: none"><li>3. Sends a memorandum (Form letter #10) to the Director, cc: Research Coordinator, acknowledging the receipt of the proposal and requesting, through the Research Coordinator, any additional letters of support for consideration by the Research Advisory Committee.</li><li>4. Obtains two additional letters supporting both a candidate (where known) and a need for research through a Post-Doctoral Fellowship award (PDF).</li></ol>
Research Advisory Committee	<ol style="list-style-type: none"><li>5. Meets with other Research Coordinators and the Research and Technology Branch staff prior to the Research Advisory Committee meeting to discuss relative research priorities.</li><li>6. Tables the outline and the letters of support for approval/rejection at the RAC meeting.</li><li>7. Discusses the PDF proposal at the RAC meeting.</li><li>8. Recommends by consensus the approval, deferral or rejection of the PDF proposal based on discussions, letters of support, research needs and available funds.</li></ol>



PROCEDURE #10

APPROVAL OF POST-DOCTORAL FELLOWSHIPS, FOR FUNDING BY GRANT

Responsibility	Action
Research and Technology Branch	9. Prepares the appropriate documentation for notification of conditional approval, rejection or approval.  (a) If a proposal is approved with conditions, advises the Director in writing of the conditions and asks the Director to either provide written concurrence with the conditions or to supply the necessary information to meet the conditions.  (b) If the proposal is deferred until the next RAC meeting due to either unresolved concerns or the need for clarification, advises the Director in writing to provide additional information through the review coordinator.  (c) If the proposal is rejected, a letter is sent to the Director, cc: Review Coordinator, Applicant, advising of the proposal review and the subsequent rejection.  (d) If the proposal is approved unconditionally.
Research and Technology Branch	10. Arranges that the university faculty member who has agreed to administer the PDF advises the Director, Research and Technology Branch in writing of his intent to do so, cc: the university Director of Research Administration.
Research and Technology Branch	11. Prepares Form 03.  Note: Information on Form 03 is extracted from the previously submitted project outline.
	12. Sends Form 03 for approval at the Division Heads' meeting.



## APPENDIX A

October, 1988



#1A

Letter to Applicant Concerning Missing Document(s)  
June 2, 1988 (Most recent update)

ACK-  
Proposal#

Date

Dr. (Name)

Dear Dr. (Name):

Your Proposal No. #: "X"

This is to acknowledge the receipt on (date) of your proposal which has been assigned the number X for future reference.

In order to process the proposal, it is necessary to:

- complete the attached application form (Form 02)
- remit (#) more copies of the proposal

and return them to this Office as soon as possible.

Your interest in the Ministry of the Environment Research Program is appreciated.

Yours sincerely,

Director  
Research and Technology Branch

c.c. (Review Coordinator)  
(Director of Research - Universities only)



#1B

Letter of Acknowledgement to Applicant

ACK- June 2, 1988 (Most recent update)  
Proposal#

Date

(Name)

Dear #:

PROPOSAL NO. #: "

---

This is to acknowledge receipt on (date) of the above proposal. It has been assigned the number \_\_\_\_\_ which should be used in any future correspondence.

The proposal will be evaluated and presented to the Research Advisory Committee for review at their next Committee meeting which will be held in September. You will be notified of the status of your proposal in early October.

Your interest in the Ministry of the Environment Research Program is appreciated.

Yours sincerely,

Director  
Research and Technology Branch

c.c. (Review Coordinator)  
(Director Research Administration -  
University Applications only)



#1C  
Late Proposal Received  
June 2, 1988 (Most recent update)

ACK-  
Proposal#

Date

(Applicant)

Dear Dr. X

Proposal No. X: "X"

---

This is to acknowledge receipt on X of the above proposal. It has been assigned the number X which should be used in any future correspondence.

Unfortunately, as we did not receive your proposal in time for our X deadline, I cannot guarantee that the R.A.C. will be able to consider it at their X meeting. However, it will be reviewed by both the X Research reviewers and the Research Advisory Committee and I will let you know its status as soon as possible.

Your interest in the Ministry of the Environment Research Program is appreciated.

Yours sincerely,

Director  
Research and Technology Branch

C.C. (Review Coordinator)  
(Director Research Administration - Universities Only)



#1D

Memorandum To Review Coordinator Requesting Review  
June 2, 1988 (Most recent update)

REV-  
Proposal#

Date

MEMORANDUM

TO: (Review Coordinator)

FROM: Director  
Research and Technology Branch

SUBJECT: PROPOSAL NO. X: "X"  
(AFFILIATION)

---

Attached are four copies of the aforementioned proposal for review.

Would you please provide this Office with copies of three reviewers' remarks and your recommendations for funding by July 15.

Your support is appreciated.

---

Director  
Research and Technology Branch

Enclosures

cc: (Regional Director if applicable)



#1E

Memorandum to Review Coordinator - Late Proposal

Received

REV- (June 2, 1988 - most recent update)  
Proposal#

Date

MEMORANDUM

TO: (Review Coordinator)

FROM: Director  
Research and Technology Branch

SUBJECT: PROPOSAL NO. #: "X"  
(AFFILIATION)

---

Attached are four copies of the aforementioned proposal for review by the X reviewers.

Would you please provide the office with copies of three reviewers' remarks and your recommendations for funding. I anticipate that this will not be considered by the R.A.C. until the X meeting.

Your support is appreciated.

---

Director  
Research and Technology Branch

Enclosure(s)

cc: (Regional Directors if applicable)



#1F  
Memorandum To Review Coordinator Requesting Review  
- Revised Proposal  
REV- (June 2, 1988 most recent update)  
Proposal# Date

MEMORANDUM

TO: (Review Coordinator)

FROM: Director  
Research and Technology Branch  
SUBJECT: PROPOSAL NO. #: "#"  
(AFFILIATION)

---

Attached are four copies of the aforementioned revised proposal for review by the # reviewers.

You will recall that, at the # meeting, this proposal was ranked a "priority three" and recommended for reconsideration based on a revised proposal.

Would you please provide the Office with copies of three reviewers' remarks and your recommendations for funding by #. I anticipate that this will not be reviewed by the R.A.C. until their # meeting.

Your support is appreciated.

---

Director  
Research and Technology Branch

Enclosures

cc: (Regional Director if applicable)



#2A  
Letter to Applicant (University or Contractor)  
re Proposal Rejection.  
June 2, 1988 (Most recent update)

REJ-  
Proposal #

Date

Dr. (Name)

Dear Dr. (Name)

Proposal No. #: "X"

---

The Ministry of the Environment Research Advisory Committee has now concluded its review of the aforementioned proposal relative to MOE research needs and priorities, and available funds.

Unfortunately, your proposal was not recommended for funding.

Thank you for your interest in the Ministry of the Environment's research program.

Yours sincerely,

Director  
Research and Technology Branch

c.c. (Review Co-ordinator)  
(Director Research Administration - Universities Only)



#2B

Memorandum to Review Co-ordinator regarding Approval of  
Funding by Division Heads - Grant  
June 2, 1988 (Most recent update)

Date

MEMORANDUM

TO: (Review Coordinator)

FROM: Director  
Research and Technology Branch

SUBJECT: PROPOSAL NO. #: "X"  
(AFFILIATION)

---

The aforementioned proposal was approved at the R.A.C. meeting of X and has been approved for funding by Division Heads at their meeting of X, as per the attached Form 03. Please note the following:

Project No.: X

Project Type: (Solicited/Unsolicited) Grant

Conditions: As per Form 02 (and as per Minutes if conditional)

Budget: Year (#) (FY) (\$000's)

Total

Project Year: X

By copy of this memorandum, I am advising the Liaison Officer (name) of the following responsibilities:

1. Ensuring that progress reports are prepared and forwarded to the Research Management Office every six months, and also that copies of any publications, research reports, presentations or other papers, are sent to the office prior to publication.



2. Ensuring that the statement of expenditures for the grant is prepared by the University or institution as of March 31 each year and is forwarded to the Research Management Office.
3. Annually evaluating performance and submitting the evaluation by memorandum to the Research Management Office, with a recommendation for the next year of funding in the case of multi-year projects. (Note: Grant cheques are not automatically mailed. The Liaison Officer's recommendation is necessary before the request for cheque can be initiated.)
4. Ensuring that a final report is prepared at the end of the project and is submitted through the Branch Director to the R.A.C. for final approval.
5. Ensuring that all other terms in the Grant Agreement are met.

Please provide the Liaison Officer with a copy of the original proposal if this has not already been done.

I have forwarded a copy of the Form 03 to the Communications Branch for the preparation of a news release. This will be sent to the Liaison Officer and this office for review prior to release.

Please let me know if there are any changes to the above.

---

Director  
Research and Technology Branch

c.c. (Liaison Officer)



#2C

Letter to University re Successful Grant Application  
(June 2, 1988 most recent update)

bcc: Minister's Office  
D.M.'s Office  
Mr. A. Castel  
Ms. J.E. Pagel  
(Review Coordinator)  
(Liaison Officer)

W.O. #

(Director of Research Administration)

Dear Dr. #:

I am pleased to inform you that Dr. #'s Proposal No. # entitled " #" has been approved for funding in the amount of # for project year 1 as a grant award to be payable immediately. (Further funding for project year(s) (2 and/or 3) in the amount of # is also approved, contingent on satisfactory progress reports each six months and on the liaison officer's recommendation).

The study has been assigned Project No. # and this number should be referred to in all future correspondence. Staff are currently in the process of obtaining the grant cheque which will be mailed to you in the near future, following receipt of the signed grant agreement (attached) by the Research and Technology Branch. (Dr./Mr./Ms name) is the Liaison Officer for this project and (he/she) can be reached at (address and phone number). (Liaison Officer) should be kept well informed of all aspects of this project.

I am pleased that the Ministry of the Environment has been able to assist in this important study, and I would like to congratulate Dr. # for (his/her) successful submission and wish (him/her) every success in this research.

Yours sincerely,

Jim Bradley  
Minister

Enclosure



#2D

Letter to Director of Research enclosing cheque  
(Updated November 18, 1987)

Date:

Dr.

Dear Dr.

Enclosed is a cheque in the amount of \$ to fund Dr. X's Project No. X, entitled "X".

A progress report is required after six months, and a final report at the end of the project. We also require a statement of expenditures as of March 31, the end of our fiscal year.

It is a pleasure to provide this financial support to Dr. X and I wish him/her every success in his research.

Yours sincerely,

Director  
Research and Technology Branch

cc: Dr. X (recipient)



#2E

Memorandum to Financial and Capital Management Branch  
Requesting Cheques  
June 2, 1988 (Most recent update)

Date

MEMORANDUM

TO: Mr. F. Saponara  
Director  
Financial and Capital Management Branch

FROM: Director  
Research and Technology Branch

SUBJECT: "REQUEST FOR CHEQUE" FORM(S) FOR  
PROJECT NOS. #

---

The aforementioned project(s) was/were approved by the Research Advisory Committee at their meeting of # and by MOE Senior Management on #. The "Request for Cheque" form and a copy of the Form 03 is attached.

Your cooperation is requested in preparing the following cheque(s):

<u>Project No.</u>	<u>University</u>	<u>Amount</u>
--------------------	-------------------	---------------

Thank you for your assistance.

---

Director  
Research and Technology Branch

Attachments



#2F

Acknowledgement letter to Liaison Officer for  
recommendation to issue 2nd or 3rd cheque

Date

MEMORANDUM

TO: (Liaison Officer)

FROM: Director  
Research and Technology Branch

SUBJECT: PROJECT NO. #: "X"

---

Thank you for your memorandum dated # recommending release of the # year funding grant cheque for #'s for Project No. #. Copies of (the progress report and financial statement for the 1987 project year) were also received.

I have requested a grant cheque for \$# payable to the (University) for the # year funding of Dr. #'s project. Upon receipt, this cheque will be mailed out with a covering letter from the Minister to the Dean of Research.

Your liaison efforts on this project are most appreciated.

---

Director  
Research and Technology Branch

c.c. (Principal Investigator)  
(Review Coordinator)



#2G

Letter to Applicant (University or Contractor)

re Proposal Defferal

June 2, 1988 (Most recent update)

Date

Dr. (Name)

Dear Dr. (Name)

Proposal No. X: "X"

---

The Ministry of the Environment Research Advisory Committee has now concluded its review of the aforementioned proposal relative to MOE research needs and priorities, and available funds.

Your proposal has been deferred to the September 1988 meeting pending results of ongoing work in this area.

Thank you for your interest in the Ministry of the Environment's research program. You will be advised of its status in October.

Yours sincerely,

Director  
Research and Technology Branch

c.c. (Review Co-ordinator)  
(Director Research Administration - Universities Only)



#3A

Memorandum to Review Co-ordinator regarding Approval of  
Funding by Division Heads - Contract  
June 2, 1988 (Most recent update)

Date

MEMORANDUM

TO: (Review Coordinator)

FROM: Director  
Research and Technology Branch

SUBJECT: PROPOSAL NO. #: "X"  
(APPLICANT NAME AND AFFILIATION)

---

The aforementioned proposal was approved at the R.A.C. meeting of X and has been approved for funding by Division Heads at their meeting of X, as per the attached Form 03. Please note the following:

Project No.: X

Project Type: (Solicited/Unsolicited) Contract

Conditions: As per Form 02 (and as per Minutes if conditional)

Budget: Year (#) (FY) (\$000's)

By copy of this memorandum, I am advising the Liaison Officer (name) of the following responsibilities:

1. Preparing the Contract - once prepared, three copies are to be forwarded with a signed Purchase Requisition to the Research Management Office for approval.
2. Ensuring that progress reports are prepared and forwarded to the Research Management Office every six months, and also that copies of any publications, research reports, presentations or other papers are sent to the office prior to publication.



3. Ensuring that once invoices have been approved, they are forwarded to the Research Management Office for final approval and forwarding to Accounts.
4. Preparing an annual contract monitoring and summary sheet, with a copy to be forwarded to the Research Management Office and, in the case of a multi-year project a recommendation for the next year of funding.
5. Ensuring that a final report is prepared at the end of the project and is submitted through the Branch Director to the R.A.C. for final approval.

Please provide the liaison officer with a copy of the original proposal if this has not already been done.

I have forwarded a copy of the Form 03 to the Communications Branch for the preparation of a news release. This will be sent to the liaison officer and this office for review prior to release.

Please let me know if there are any changes to the above.

---

Director  
Research and Technology Branch

Enclosure

c.c. (Liaison Officer)  
(Branch/Region Director - if solicited research proposal)



#3B

Letter to Contractor re Successful Proposal Submission  
April 7, 1988 (Most recent update)

bcc: Minister's Office

Date

(Proponent Name)

Dear #:

Your Proposal No. #: "#"

---

I am pleased to advise you that your proposal has been approved for # year(s) of funding, and has been assigned project No. #. This number should be used in all future correspondence.

The Project Liaison Officer, who should be kept well informed about all aspects of this project is:

(Name)  
(Position)  
(Address)  
(Phone Number).

Please contact (liaison officer's name) regarding contract preparation at your earliest convenience.

Yours sincerely,

Director  
Research and Technology Branch

c.c. (Review Co-ordinator)  
(Liaison Officer)



#4

Acknowledgement to Branch/Regional Director for Research  
Proposal to be Tendered (June 2, 1988 most recent update)

Date

MEMORANDUM

TO: . (Branch/Regional Director)

FROM: Director  
Research and Technology Branch

SUBJECT: PROPOSAL NO. #: "##"

---

This is to acknowledge receipt on ## of the above proposal. It has been assigned the number \_\_\_\_ which should be used in any future correspondence.

The proposal will be reviewed by both the ## Research reviewers and the Research Advisory Committee. The Committee will consider this at their ## meeting for approval in principle for tendering, and you will be notified of the status of the proposal in early ##.

Thank you for submitting this proposal for solicited research.

---

Director  
Research and Technology Branch

c.c. (Review Co-ordinator)



#7A

Memorandum to Financial and Capital Management Branch  
Requesting Additional Funding  
June 2, 1988 (Most recent update)

Date

MEMORANDUM

TO: Mr. F. Saponara  
Director  
Financial and Capital Management Branch

FROM: Director  
Research and Technology Branch

SUBJECT: "REQUEST FOR CHEQUE" FORM FOR PROJECT NO. #:

---

The aforementioned project was approved by the Research Advisory Committee at their meeting of # and by MOE Senior Management on #. The "Request for Cheque" form and a copy of Form 03 are attached. Also attached is a copy of (a request from the University/Liaison Officer for an enhancement of # which has been approved).

Your cooperation is requested in preparing the following cheque:

<u>Project No.</u>	<u>University</u>	<u>Amount</u>
--------------------	-------------------	---------------

Thank you for your assistance.

---

Director  
Research and Technology Branch

Attachments



#7B

Letter to University Regarding Request for Supplementary  
Grant Award June 2, 1988 (Most recent update)

Date

(Dean of Research Administration)

Dear Dr. X

Dr. X's Project No. X: "X"

---

Dr. X recently requested a supplementary grant award of X for the above project. This has been supported by the liaison officer for the project and approved by senior management, and I am enclosing a cheque for this amount. This brings the total award in year X to X. (An award of \$X will be made for the X year, based on a satisfactory progress report at the end of the project year.)

I wish Dr. X continued success in (his/her) research.

Yours sincerely,

Director  
Research and Technology Branch

c.c. Dr. X (Researcher)  
(Review Co-ordinator)  
(Liaison Officer)



#9

Memorandum To Review Coordinator Requesting Review  
- Revised Proposal (June 2, 1988 most recent update)

Date

MEMORANDUM

TO: (Review Coordinator)

FROM: Director  
Research and Technology Branch

SUBJECT: PROPOSAL NO. X: "X"

---

Attached are four copies of the aforementioned proposal for review by the X reviewers.

You will recall that, at the September meeting, this proposal was ranked a "priority three" and recommended for reconsideration based on a revised proposal.

Would you please provide the Office with copies of three reviewers' remarks and your recommendations for funding by X. I anticipate that this will not be reviewed by the R.A.C. until their X meeting.

Your support is appreciated.

---

Director  
Research and Technology Branch

Enclosures

cc: (Regional Director if applicable)



#10

Acknowledgement to Branch/Regional Director for Proposal  
for Post-Doctoral Fellowships (PDFs)  
(June 2, 1988 Most recent update)

Date

MEMORANDUM

TO: (Branch/Regional Director)

FROM: Director  
Research and Technology Branch

SUBJECT: GRANT FOR POST DOCTORAL FELLOWSHIP: "X"

---

Thank you for submitting the above proposed candidate and project for consideration for a PDF. By copy of this memorandum, I am requesting (Review Coordinator) to coordinate two additional letters of support or comment on this proposed PDF, and the entire package will be circulated to the R.A.C. for their X meeting.

Thank you for your support.

---

Director  
Research and Technology Branch

cc: (Review Co-ordinator)



#13

Memorandum to Applicant - change of Liaison Officer  
June 2, 1988 (Most recent update)

Date

(Applicant)

Dear Dr. X

Project No. X: "X"

---

Please be advised that the liaison officer for the above project has been changed to X, who can be reached at (Section and address), Tel. No. X.

Yours sincerely,

Director  
Research and Technology Branch

c.c. (Review Coordinator)  
(Liaison Officer - previous)  
(Liaison Officer - current)



APPENDIX B

October, 1988



## RESEARCH PROPOSAL EVALUATION FORM

Research Area _____	Proposal No. _____
Evaluator _____	
Branch/Affiliation _____	
Phone No. _____	Date _____
TITLE: _____ _____ _____	
PRINCIPAL INVESTIGATOR/ AFFILIATION: _____	

RATINGS AND COMMENTS: Excellent = 3 Good = 2 Fair = 1 Poor = 0  
 Circle the appropriate rating for each criterion. If not known, indicate N/A under comments.

CRITERIA:	RATING AND COMMENTS:
1. Scientific and technical merit and research strategy.	3 2 1 0
2. Competence of investigator and quality of facilities.	3 2 1 0
3. Likelihood of achieving objectives on schedule.	3 2 1 0
4. Cost relative to anticipated results.	3 2 1 0
5. Compatibility with MOE research needs and priorities.	3 2 1 0
6. Potential for implementation of study results.	3 2 1 0



BUDGET

1. If it is necessary to reduce the budget for this project, what could be reasonably eliminated and by what amount?
  
2. Budget constraints often make it necessary to share funding or redirect good proposals to other sources of funding. Please suggest other sources of funding or organizations which may find merit in this proposal.

RECOMMENDATIONS:

1. Rate your overall impression of the proposal. 3 2 1 0 (Circle)
  
2. Do you recommend this proposal for funding? Yes \_\_\_\_\_ No \_\_\_\_\_  
Conditionally \_\_\_\_\_
  
3. If conditionally, do you recommend soliciting a revised proposal before further evaluation and to what sections would the revisions apply?

COMMENTS: Please specifically address the criteria on page 1 and describe any other considerations which are pertinent.

---

---

---

---

---

Are you willing to be a Liaison Officer for this project? \_\_\_\_\_



## APPENDIX C

October, 1988



Unsolicited \_\_\_\_\_  
Solicited \_\_\_\_\_  
Contract \_\_\_\_\_  
Grant \_\_\_\_\_

R.A.C. Meeting (Date): \_\_\_\_\_  
Research Area: \_\_\_\_\_  
Review Coordinator: \_\_\_\_\_

EXTERNAL PROPOSAL SUMMARY AND RECOMMENDATION

PROPOSAL NO. AND TITLE:

Investigator and Affiliation

Objective(s):

Cost:	Year:	1	2	3	Total
	Budget (\$000's)				

Review Status:

Assessment:

Recommendation:

IF RECOMMENDED

Priority (refer to current 'Research Needs'):

Key Words:

Liaison Officer:  
(name, location, phone no.)

Project start date: (m/yr.)





**GRANT AGREEMENT**

135 St. Clair Avenue West  
Suite 100  
Toronto, Ontario  
M4V 1P5

135, avenue St. Clair ouest  
Bureau 100  
Toronto (Ontario)  
M4V 1P5

Between: \_\_\_\_\_ and "Her Majesty, The Queen  
in Right of Ontario as  
Represented by the Minister  
of the Environment"

the "University"

the "Crown"

Project Title and Number:

Principal Investigator or Recipient Institution:

**TERMS**

1. The spending of funds is to be as indicated in the project proposal unless otherwise agreed in writing. Funds not spent will be returned to the Crown.
2. The Crown has the right to audit the allocation of funds and review project progress each six months or at such other intervals as the Crown determines.
3. All operating costs are included in the total project costs and will be detailed in an annual statement of expenditures as of March 31.
4. (1) The principal investigator is required to provide advance notice in the form of pre-publication copies to the Crown of any publications, research reports, presentations or other papers arising during the course of the project and within one year of its completion.  
  
(2) Subject to subsection (4) and section 5, the principal investigator will be the owner of any data collected during the course of this project. Any publications, research reports or other published papers should acknowledge the Ontario Ministry of the Environment as a source of financial support, and should indicate that the results and conclusions are those of the authors and that no official endorsement by the Ministry is intended or should be inferred.  
  
(3) The principal investigator is required to prepare a final report (a detailed summary of the results and conclusions of the research, together with supporting data, under M.O.E. cover) at the completion of this project, which shall bear the legend:  
c 19 — Her Majesty the Queen in right of Ontario as represented by the Minister of the Environment  
  
unless the Crown directs otherwise in writing.

Feb. 2, 1988

0193(03/88)



- (4) The Crown reserves the right to make use of data or publish in whole or in part any publications, research reports or other papers arising out of this project, and in any publication, shall acknowledge the contribution of the principal investigator, with the investigator's approval.
  - (5) Where an application is being prepared or proposed to be prepared for a patent under the Patent Act of Canada or similar foreign legislation, neither party shall publish information which may adversely affect the obtaining of a Patent in Canada or the United States of America without first consulting with the other.
5. (1) "Patent rights" where used in this Agreement include any patentable or secret formulae, patents, inventions, discoveries and improvements, whether patented or not, and any material subject to copyright and any industrial design or other industrial property and the word "patent" includes patents, additions to, amendments to, extensions of, restorations of and reissues of patents, copyrights and registrations of industrial designs or other industrial property.
- (2) Subject to section 4 and subsections (3) and (4), the Crown does not claim patent rights resulting from research supported by this grant.
- (3) Subject to subsection (4), patent rights arising jointly between a person carrying out research in Ontario to which this agreement applies and an employee of the Crown shall be jointly owned by the Crown and the University or other person designated by the University, and title to all patents issued thereon shall be joint.
- (4) The Crown shall have a non-exclusive licence to use any patent rights governed by this agreement for its own purposes or municipal purposes in Ontario and, where the patent rights are not being exploited commercially in Ontario by the University or persons designated by the University, for any purposes in Canada.
- (5) The Crown is prepared to enter into a supplementary agreement with respect to exploitation of any patent rights.
6. The principal investigator and University will indemnify and save harmless Ontario from any and all costs, claims, demands, suits, actions and judgements made, brought or recovered against Ontario arising from this project, except to the extent that they are caused by the negligence of a servant or agent of the Crown while acting within the scope of their employment. This provision survives the termination or expiry of this grant.
7. Temporary replacement of the principal investigator due to illness or sabbatical leave, or permanent replacement of the principal investigator, must be agreed upon in writing by the Crown.



8. Upon premature termination of this project as a result of illness, death or resignation of the principal investigator, or for any other reason, the unspent portion of the funds will be repaid to the Crown.
9. The University agrees with all other conditions as specified in the original application (Form 02).

Date: \_\_\_\_\_

Representative of the Crown

Date: \_\_\_\_\_

Representative of the University



## APPENDIX D

October, 1988



APPENDIX E

October, 1988







Ministry  
of the  
Environment

Ministère  
de  
l'Environnement

135 St. Clair Avenue West  
Suite 100  
Toronto, Ontario  
M4V 1P5

135, avenue St. Clair ouest  
Bureau 100  
Toronto (Ontario)  
M4V 1P5

## AGREEMENT

THIS AGREEMENT made this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_

BETWEEN: HER MAJESTY THE QUEEN IN THE RIGHT OF  
ONTARIO AS REPRESENTED BY THE MINISTER OF  
THE ENVIRONMENT  
(hereinafter called the "Crown")

PARTY OF THE FIRST PART

- and -

(herein after called the "Contractor")

PARTY OF THE SECOND PART

Designated Crown Representative \_\_\_\_\_ or such other  
person as may from time to time be  
designated by the Crown in writing  
Telephone:

Project Title: \_\_\_\_\_

In consideration of the provisions hereinafter set out, the parties agree as follows:

1.0 This Agreement is subject to confirmation by the Crown issuing a Purchase Order.

## 2.0 ASSIGNMENT

The nature and extent of the work to which this Agreement pertains and the respective duties and obligations of the Contractor and the Crown are defined and described in Schedule A ("\_\_\_\_") and, subject to the other provisions of this Agreement, will be carried out in accordance with the Contractor's proposal.

### 3.0 APPOINTMENT

The Crown hereby appoints the Contractor to perform the Assignment described in Schedule A and the Contractor hereby accepts such appointment and undertakes to perform the Assignment in accordance with the Contractor's Proposal in a good, workmanlike and professional manner and subject to the terms and conditions contained herein.



#### 4.0 COSTS

The Crown hereby accepts the Contractor's estimated total costs for the Assignment not to exceed \$ \_\_\_\_\_ to be paid as outlined in Schedule A. The said amount includes all fees and disbursements of any persons appointed or assigned by the Contractor to assist in the execution of this Assignment. Unless otherwise agreed in writing and a purchase order confirming the new amount is issued by the Crown, the Crown is not liable for any costs in excess of this amount. The Contractor, and not the Crown, is liable for all fees and disbursements.

#### 5.0 PAYMENTS

5.1 The Crown will pay the Contractor upon receipt of invoices from the Contractor in accordance with Schedule A. Subject to Subsection 5.2, the Crown will hold back an amount not exceeding ten per cent (10%) of each invoice from the Contractor until the Assignment is satisfactorily completed and accepted by the Crown.

5.2 The Crown may hold back additional amounts so that at all times the sum of any holdbacks under Subsection 5.1, the amount remaining un invoiced and the amount of any additional holdback money under this subsection, is at least equal to the estimated cost for satisfactorily completing the Assignment.

5.3 The Crown, or auditors appointed by the Crown, may examine and audit project-related books, records, equipment and facilities of the Contractor or anyone working directly or indirectly for the Contractor for the purpose of the Assignment to determine that all costs are reasonable and have been properly incurred for the purpose of the Assignment and that the Assignment is being or has been properly carried out.

5.4 The Contractor will submit supporting documentation as required by the Crown with each invoice.

5.5 In the event an overpayment is discovered by audit or otherwise, the amount of overpayment shall be credited to future payments hereunder or repaid to the Crown as determined by the Crown.

5.6 The Contractor shall maintain proper financial records and books of account respecting services provided pursuant to this Agreement. These financial records and books of account may be inspected by the Crown both during and following the performance of this Agreement for a maximum of five years after performance is completed.



6.0 DATES

The Assignment shall commence on or about the \_\_\_\_\_ day of \_\_\_\_\_, 198\_\_\_\_\_, and shall be completed not later than the \_\_\_\_\_ day of \_\_\_\_\_, 198\_\_\_\_\_. The reasons for any extension required by the Contractor to complete any phase of the Assignment shall be documented and forwarded to the Crown as soon as the Contractor is aware that it may be necessary to ask for permission for an extension and in any event prior to the original termination date of the phase of the Assignment or the Assignment and the terms and conditions of any such extensions shall be agreed upon in writing by the parties. Unless an extension is agreed to in writing by the Crown, the Contractor may not extend the time for completion.

7.0 PROGRESS AND FINAL REPORTS

7.1 The Contractor will provide:

- (a) oral progress or status reports from time to time at the request of the Crown representative at the cost of the Contractor.
- (b) written progress reports at intervals of not more than six months;
- (c) a final written report on completion of work;
- (d) make a presentation at the Crown's annual Technology Transfer Conference in the form of the oral presentation of a paper or in the form of a poster, at the Crown's election; and
- (e) such other reports as are provided in Schedule "A".

8.0 PERSONNEL

8.1 The Contractor is responsible for performing the tasks for the Assignment as described in Schedule A. The Crown representative, on a consultative basis, and the Crown files pertinent to the Assignment will be available to the Contractor.

8.2 The Contractor will perform the Assignment at his office location or any other facilities provided at the Contractor's expense but may periodically visit the Ministry office for pick-ups and deliveries or to consult with the Crown personnel.

8.3 The Contractor shall not change principal professional staff, consultants, sub-contractors or the rate chargeable as defined in Schedule A without the written consent of the Crown.



## 9.0 PREMATURE TERMINATION

9.1 If the Contractor is guilty of serious professional misconduct in the opinion of the Crown, or neglects, fails or refuses to carry out the Assignment in other respects, the Crown may terminate work under this Agreement without notice or payment in lieu of notice.

9.2 The Crown may terminate work under this Agreement by written notice at any time for reasons not specified in Subsection 9.1 and its only obligation will be to pay the Contractor for all work done to the date of cancellation and for any future expenses which were to be paid for under this Agreement and which the Contractor remains legally obliged to pay in connection with the Assignment and for which the Contractor is not otherwise reimbursed.

9.3 The Contractor may terminate work under this Agreement for any reason with a one month advance notice in writing to the Crown Representative. In such event, the Crown shall determine what, if any, portion of the payments made prior to the date of termination the Contractor may retain.

## 10.0 DOCUMENTS AND MATERIALS

10.1 Materials, documents, data and working papers relating to the Assignment shall be the property of the Crown and shall be surrendered to or disposed of as instructed by the Crown representative upon completion and acceptance of the Assignment or termination of work under this Agreement for any reason whatsoever.

10.2 The Contractor shall return to the Crown at the termination of work under this Agreement in good condition, reasonable wear and tear only excepted, all equipment and non-consumable supplies of the Crown loaned to the Contractor for the Assignment and all equipment and non-consumable supplies purchased by the Contractor for the Assignment at the Crown's expense.

## 11.0 SECURITY AND CONFIDENTIALITY

11.1 The Contractor will act as an independent contractor and not as a servant or agent of the Ministry of the Environment.

11.2 Subject to Subsection 3, no information received or developed by the Contractor in connection with this Agreement shall be disclosed by the Contractor or to anyone other than the Crown without the consent of the Crown.

11.3 Subject to any requirements to protect or perfect any patent rights, the Contractor may publish any material alone or jointly with the Crown after one year after completion of the Assignment provided that (unless the Crown Representative otherwise directs) the participation of the Crown in carrying out or financing the work is acknowledged.



11.4 "Patent rights" where used in the Agreement include any patentable or secret formulae, patents, inventions, discoveries and improvements, whether patented or not, and any material subject to copyright and any industrial design or other industrial property and the word "patent" includes patents, additions to, amendments to, extensions of, restorations of and reissues of patents, copyrights and registrations of industrial designs or other industrial property.

11.5 All patent rights resulting from experiments or research or operations connected with this Agreement and all patents and applications for patents in respect thereof shall belong to the Crown.

11.6 The Contractor shall have a royalty-free non-exclusive licence to use and exercise and have used and exercised any patent right mentioned in Section 11 for further research and development provided the results of such research and development are reported to the Crown in writing.

11.7 All reports and other documents and materials prepared by or for the Contractor for or arising out of this Assignment shall bear the legend:

198 — - Her Majesty the Queen in Right  
of Ontario as Represented by the  
Minister of the Environment

unless the Crown Representative otherwise directs in writing, as well as an acknowledgement to the Crown for providing the funding support and a disclaimer as indicated below.

#### Acknowledgement and Disclaimer

This report was prepared for the Ontario Ministry of the Environment as part of a Ministry funded project. The views and ideas expressed in this report are those of the author and do not necessarily reflect the views and policies of the Ministry of the Environment, nor does mention of trade names or commercial products constitute endorsement or recommendation for use. The Ministry, however, encourages the distribution of information and strongly supports technology transfer and diffusion. Any person who wishes to republish part or all of this report should apply for permission to do so to the Research Management Office, Policy and Planning Branch, Ontario Ministry of the Environment, 135 St. Clair Avenue West, Toronto, Ontario, M4V 1P5, Canada.



11.8 The Contractor and any persons working on the Assignment shall cooperate in any action needed to perfect or record any patent rights in the name of the Crown.

#### 12.0 LIABILITY

The Crown and its representatives shall not be responsible for any injuries or property damage suffered or caused by the Contractor or any sub-contractors or any of their associates, officers or employees while performing the Assignment. The Contractor shall be responsible for insuring personnel and both Contractor and Crown-owned equipment for any loss or damage, and must conform to Provincial Environmental, Health and Safety Standards.

The Contractor shall indemnify the Crown for any damages to property or persons and any claims against the Crown, arising out of the carrying out of the Assignment.

In this section, "Crown" includes the Minister of the Environment and any officer and employees of the Ministry of the Environment and public servants employed with the Ministry of the Environment.

#### 13.0 FINAL REPORT

Following the approval of the study "draft" final report by the Crown representative, the Contractor will print the Final Report, including and revisions, corrections, etc. as indicated by the Crown, and provide the Crown with copies in the form specified in Schedule "?".

#### 14.0 ENTIRE AGREEMENT

This Agreement shall enure to the benefit of and be binding upon, the parties and their administrators, successors and assigns, and shall not be assigned by the Contractor without the written approval of the Crown.

14.1 Where any conflict or inconsistency appears between a provision of any of the documents listed below which form part of this Agreement and a provision in another of the documents, the provision in the first mentioned document shall govern:

- (a) Purchaser Order
- (b) This Document
- (c) Schedule A

14.2 This Agreement, including the documents listed in Subsection 14.1, constitute the entire Agreement between the parties.

14.3 The designation of the Crown Representative may be changed at any time by notice, in writing, to the Contractor.



15.0 WAIVER

The failure by the Crown to insist in one or more instances upon the performance by the Contractor of any of the terms or conditions of this Agreement shall not be construed as a waiver of the Crown's right to require further performance of any such terms or conditions, and the obligations of the Contractor with respect to such future performance shall continue in full force and effect.

16.0 SUPPORT SERVICES

Typing, photocopying and other office support activities are the responsibility of the Contractor.

17.0 No services or goods or persons of South African origin may be used in carrying out this Agreement.

18.0

18.1 In the event of a disagreement with respect to any provision of the Agreement, either party may ask the other to refer this disagreement to one or more mutually agreeable persons as a review panel.

18.2 Section 18.1 does not prevent either party from taking legal action in connection with this Agreement.

HER MAJESTY THE QUEEN  
in the Right of Ontario  
as Represented by the  
Minister of the Environment

Per: \_\_\_\_\_  
Director,  
Policy & Planning Branch

CONTRACTOR

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Per: \_\_\_\_\_  
(Title - )

Dated \_\_\_\_\_



## APPENDIX F

October, 1988



RESEARCH ADVISORY COMMITTEE

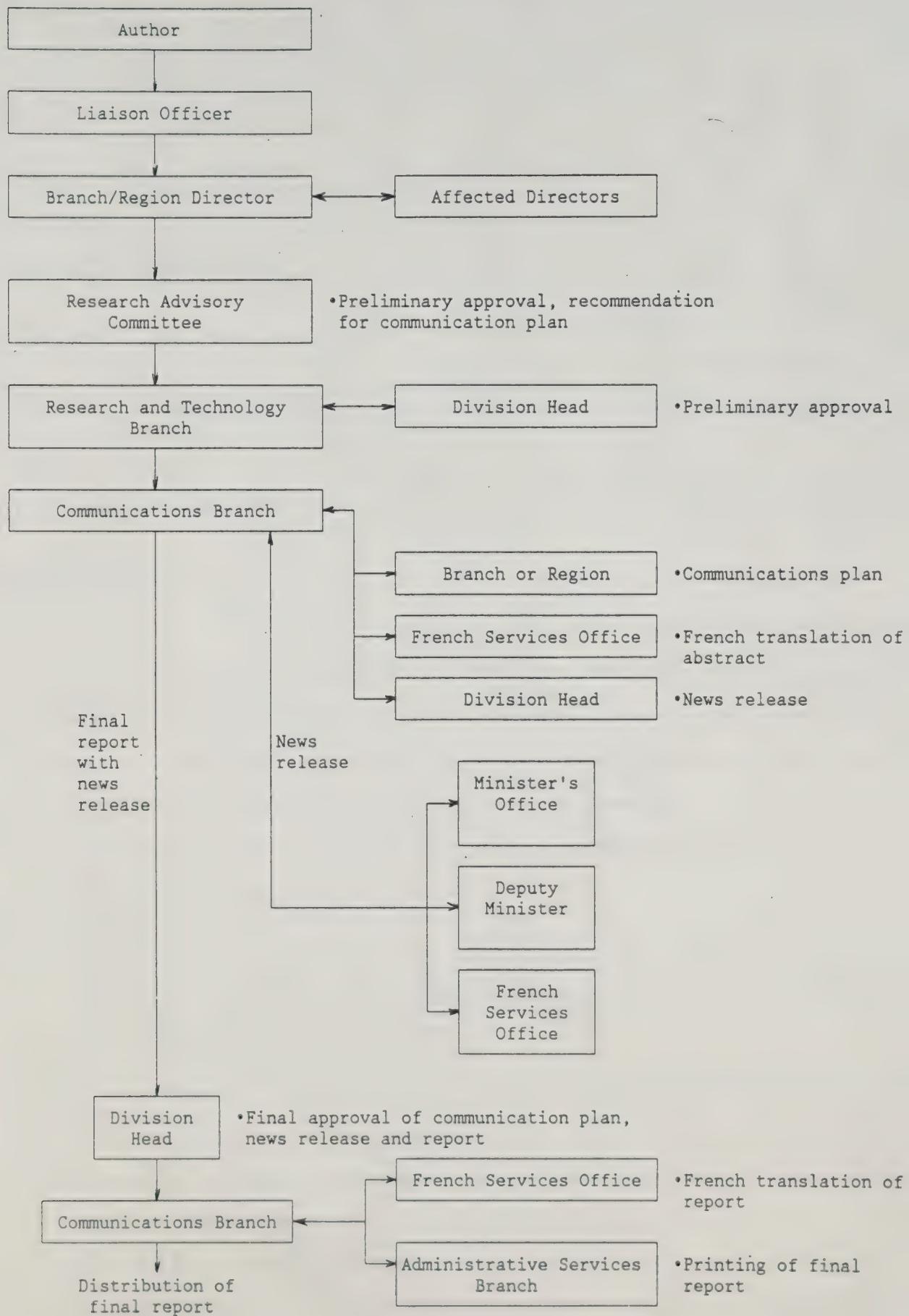
REPORT APPROVAL PROCEDURES EXPLANATORY NOTES

1. The liaison officer, once satisfied technically with the final report, should complete an RAC Publication Approval Form (attached) for the Branch/Regional Director to present to the RAC.
2. The title page should specify the project number and institution or agency, may show the project liaison officer's name and should acknowledge the source of funding. This information will be reformatted by the Research and Technology Branch to be compatible with the standard Environmental Research report cover. The standard disclaimer should be retained on the first inside page.
3. Principal Investigators will be informed of the procedures and the number of copies required (one camera ready and five copies) at the time they receive notification of funding approval, and the requirement will be added to the grant or contract agreement.
4. In some cases, if the quality of the report or the results are judged to be of limited value, the RAC may recommend limited or internal distribution only.
5. If changes to the report are necessary, the liaison officer will advise the author and coordinate the revision.
6. Technology Transfer Conference presentations will not be considered the equivalent of final reports.
7. In certain cases, publications of a single comprehensive or several component publications in the peer reviewed scientific literature, or a book chapter will be considered acceptable as a final report. Approval would follow the normal review procedure once the manuscript had reached final draft stage but before submission to the editor.
8. When permission is requested for presentation or release of data during the course of a project, the liaison officer will obtain Branch/Regional Director's approval and advise the Research and Technology Branch. The Director may refer the decision to the RAC if considered necessary.
9. Major equipment is to be returned to the Ministry upon completion of the project, based on the liaison officer's equipment inventory, unless alternative arrangements have been made with the RAC.

Note: Further details are provided in the October, 1988 Research and Technology Branch Procedures Manual.



RAC Report Approval Procedure





## PUBLICATION APPROVAL FORM

Title: \_\_\_\_\_  
\_\_\_\_\_

Project Number: \_\_\_\_\_

Author(s): \_\_\_\_\_

Author's Affiliation: \_\_\_\_\_  
\_\_\_\_\_Originating Branch/Region: \_\_\_\_\_  
\_\_\_\_\_

Liaison Officer: \_\_\_\_\_

## REPORT ABSTRACT:

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## AFFECTED REGIONS AND/OR BRANCHES:

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## POLICY AND OPERATIONAL IMPLICATIONS:

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CHECKLIST OF ITEMS ENCLOSED BY LIAISON OFFICER

Original of report      Printing Requisition  
Two copies of report      Distribution List

Branch/Regional Director: \_\_\_\_\_  
(signature) \_\_\_\_\_ (date) \_\_\_\_\_

FOR RESEARCH AND TECHNOLOGY BRANCH USE:

Director of Research  
and Technology Branch: \_\_\_\_\_

Division Head  
(Preliminary Approval): \_\_\_\_\_

FOR COMMUNICATIONS BRANCH USE:

### **Communications Plan:**

## French Abstract

News Release

**Other**

Director of  
Communications Branch: \_\_\_\_\_

Division Head  
(Final Approval): \_\_\_\_\_ (signature) (date)



## APPENDIX G

October, 1988



**ENVIRONMENTAL RESEARCH**

**RESEARCH AND TECHNOLOGY BRANCH**

The Occurrence and Mobility  
of Hazardous Organic Chemicals  
in Groundwater at Several  
Ontario Landfills

Project #118PL



**Environment  
Ontario**

Jim Bradley, Minister



**Final Report**  
**The Occurrence and Mobility of**  
**Hazardous Organic Chemicals in Groundwater**  
**at Several Ontario Landfills**  
**Lottery Trust Fund Project 118PL**

Prepared for the Research Advisory Committee  
Ontario Ministry of the Environment.

J.F. Barker<sup>1</sup>, J.A. Cherry<sup>1</sup>, M. Reinhard<sup>2</sup>,  
J.F. Pankow<sup>3</sup>, and M. Zapico<sup>1</sup>

1. Institute for Groundwater Research  
University of Waterloo  
Waterloo, Ontario  
N2L 3G1
2. Department of Civil Engineering  
Stanford University  
Stanford, California 94305
3. Department of Chemical and Biological Environmental Sciences  
Oregon Graduate Center  
19600 NW Von Neuman Drive  
Beaverton, Oregon 97006

March, 1988



## **DISCLAIMER**

This report has been reviewed by the Research Advisory Committee of the Ministry of the Environment and approved for publication. Approval does not necessarily signify that the contents reflect the views and/or policies of the Ontario Ministry of the Environment nor does mention of trade names or commercial products constitute endorsement or recommendation for use.

## **ENQUIRIES**

All enquiries regarding this project should be directed to M.J. Goodwin (Liaison Officer) of the Waste Management Branch or to the Research Coordination Office of the Ministry of the Environment.



## APPENDIX H

October, 1988



TITLE:

EXTERNAL
INTERNAL
SOLICITED
UNSOLICITED
GRANT
CONTRACT

OBJECTIVE/S:

DESCRIPTION:

RECOMMENDED BY RAC AT ITS MEETING OF

PROJECT TO BE COORDINATED BY:

BUDGET:      FY 86/87      FY 87/88      FY 88/89      FY 89/90      FY 90/91      TOTAL

RECIPIENT ORGANIZATION:

DATE PRESENTED TO DIVISIONAL HEADS: \_\_\_\_\_

APPROVED BY:

J.E. PAGEL, COORDINATOR  
RESEARCH MANAGEMENTD. JEFFS, DIRECTOR  
POLICY AND PLANNING BRANCHA. CASTEL, EXECUTIVE DIRECTOR  
CORPORATE RESOURCES DIVISION

PROPOSAL NO. \_\_\_\_\_

PROJECT NO. \_\_\_\_\_

DATE \_\_\_\_\_





